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60307-5001
BRS
**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FILE

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/378,577 08/20/99 SHI

W 60307-5001

0232/0913

JEFFER MANGELS BUTLER & MARMARO LLP
TENTH FLOOR
2121 AVENUE OF THE STARS
LOS ANGELES CA 90067

NOT ASSIGNED

3732

DATE MAILED:

09/13/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$_____ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$_____ for _____ total claims over 20.

\$_____ for _____ independent claims over 3.

\$_____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

- ☒ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER: _____

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

D. Bates

Customer Service Center
Initial Patent Examination Division (703) 308-1202

CALENDAR
2100 1000 JUL 11/13/99

SEP 20 1999

JEFFER, MANGELS, BUTLER & MARMARO
BY *[Signature]*

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Sector / #

PATENT
60307-5001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:
Wenyuan SHI, et al.

Serial No. 09/378,577

Filed: August 20, 1999

For: METHOD FOR THE TREATMENT
AND PREVENTION OF DENTAL
CARIES



Group Art Unit: 3732

Examiner: To Be Assigned

CERTIFICATE OF MAILING

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

I hereby certify that a Response to Notice of Missing Parts (duplicate), copy of Notice to File Missing Parts of Application, check number 128085 in the amount of \$130.00, Declaration and Power of Attorney executed by Maxwell H. Anderson, Assignment to Washington Dental Service executed by Maxwell H. Anderson, Declaration and Power of Attorney executed by Wenyuan Shi, Assignment to The Regents of the University of California executed by Wenyuan Shi, Power of Attorney By Assignee and Exclusion of Inventor(s) Under 37 C.F.R. 3.71 executed by Cheryl Silverman, and return postcard are being deposited with the United States Postal Service, postage prepaid, Express Mail No. EM087960865US on the date indicated below and addressed to: Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231.

November 12, 1999

(Date of Deposit)

Marilyn R. Tavlin

(Name of Person Mailing Paper or Fee)

A handwritten signature in cursive script, appearing to read "Marilyn R. Tavlin", written over a horizontal line.

(Signature)



PATENT
60307-5001

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In re patent application of:
Wenyuan SHI, et al.

Serial No. 09/378,577

Filed: August 20, 1999

For: METHOD FOR THE TREATMENT
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Group Art Unit: 3732

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RESPONSE TO NOTICE TO FILE MISSING PARTS

Box: Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In response to the Notice to File Missing Parts dated September 13, 1999, response to which is due November 13, 1999, enclosed are the following:

1. a copy of the "Notice to File Missing Parts;"
2. a check for \$130.00 to cover the surcharge fee as set forth in 37 C.F.R. 1.16(e);
3. Declaration and Power of Attorney executed by Maxwell H. Anderson;
4. Assignment to Washington Dental Service, executed by Maxwell H. Anderson;

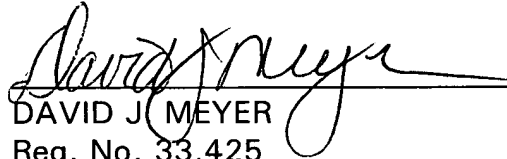
Serial No. 09/378,577

5. Declaration and Power of Attorney executed by Wenyan Shi;
6. Assignment to The Regents of the University of California, executed by Wenyan Shi; and
7. Power of Attorney By Assignee and Exclusion of Inventor(s) Under 37 C.F.R. 3.71, executed by Cheryl Silverman.

The Commissioner is authorized to charge any additional amounts due in connection with this matter to our Deposit Account No. 10-0440. A duplicate copy of this letter is enclosed.

Respectfully submitted,

11/12/99
Date


DAVID J. MEYER
Reg. No. 33,425

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